

**DECLARATION FOR UTILITY OR
DESIGN
PATENT APPLICATION
(37 CFR 1.63)**Declaration
Submitted
with Initial
Filing

OR

Declaration
Submitted after Initial
Filing (surcharge
(37 CFR 1.16 (e))
required)

| | |
|--------------------------|---------------------------|
| Attorney Docket Number | P04514US0 |
| First Named Inventor | THOMANN, KAREN S., et al. |
| COMPLETE IF KNOWN | |
| Application Number | / |
| Filing Date | |
| Art Unit | |
| Examiner Name | |

As the below named inventor, I hereby declare that:

My residence, mailing address, and citizenship are as stated below next to my name.

I believe I am the original and first inventor of the subject matter which is claimed and for which a patent is sought on the invention entitled:

AUTOMATED WORKFLOW MEANS AND METHOD FOR PENSION PRODUCTS

(Title of the Invention)

the specification of which



is attached hereto

OR



was filed on (MM/DD/YYYY)

as United States Application Number or PCT International

Application Number

and was amended on (MM/DD/YYYY)

(if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

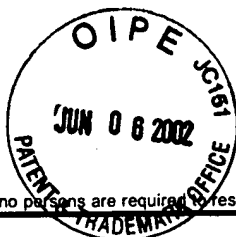
I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or (f), or 365(b) of any foreign application(s) for patent, inventor's or plant breeder's rights certificate(s), or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent, inventor's or plant breeder's rights certificate(s), or any PCT international application having a filing date before that of the application on which priority is claimed.

| Prior Foreign Application Number(s) | Country | Foreign Filing Date (MM/DD/YYYY) | Priority Not Claimed | Certified Copy Attached? | |
|--|---------|-------------------------------------|--------------------------|--------------------------|--------------------------|
| | | | | YES | NO |
| | | | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | | | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | | | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | | | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |



Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto:

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DECLARATION — Utility or Design Patent Application

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State

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I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

NAME OF SOLE OR FIRST INVENTOR : ☐ A petition has been filed for this unsigned inventor

Given Name
(first and middle [if any]) **KAREN S.**

Family Name
or Surname **THOMANN**

Inventor's
Signature

Karen S. Thomann

Date

2-13-02

Residence: City

Urbandale

State

Iowa

Country

USA

Citizenship

USA

Mailing Address **4732 95th Street**

City

Urbandale

State

Iowa

ZIP

50322

Country

USA

NAME OF SECOND INVENTOR: ☐ A petition has been filed for this unsigned inventor

Given Name
(first and middle [if any]) **JOSEPH**

Family Name
or Surname **MCCARTHY**

Inventor's
Signature

Date

Residence: City

Waukee

State

Iowa

Country

USA

Citizenship

USA

Mailing Address **2859 Timerline Drive**

City

Waukee

State

Iowa

ZIP

50263

Country

USA

☒ Additional inventors are being named on the 7 supplemental Additional Inventor(s) sheet(s) PTO/SB/02A attached h. reto.

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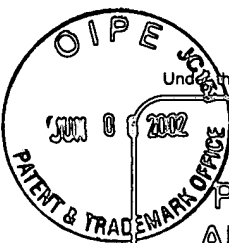
ADDITIONAL INVENTOR(S)
Supplemental Sheet
Page 3 of 9

| | | | |
|---|------------|---|------------|
| Name of Additional Joint Inventor, if any: | | <input type="checkbox"/> A petition has been filed for this unsigned inventor | |
| Given Name (first and middle [if any]) | | Family Name or Surname | |
| MARY J. | | CHIZEK | |
| Inventor's Signature <i>Mary J Chizek</i> | | Date <i>2/18/02</i> | |
| Residence: City | Mason City | State | Iowa |
| | | Country | USA |
| Citizenship <i>USA</i> | | | |
| Mailing Address 1118 Crestmore Way | | | |
| Mailing Address | | | |
| City | Mason City | State | Iowa |
| | | ZIP | 50401 |
| | | Country | USA |
| Name of Additional Joint Inventor, if any: | | <input type="checkbox"/> A petition has been filed for this unsigned inventor | |
| Given Name (first and middle [if any]) | | Family Name or Surname | |
| SHERYL D. | | BENEDICT | |
| Inventor's Signature | | Date | |
| Residence: City | Truro | State | Iowa |
| | | Country | USA |
| Citizenship | | | |
| Mailing Address 1936 Shore Street | | | |
| Mailing Address | | | |
| City | Truro | State | Iowa |
| | | ZIP | 50257-7601 |
| | | Country | USA |
| Name of Additional Joint Inventor, if any: | | <input type="checkbox"/> A petition has been filed for this unsigned inventor | |
| Given Name (first and middle [if any]) | | Family Name or Surname | |
| RICHARD C. | | JOHNSON | |
| Inventor's Signature | | Date | |
| Residence: City | Ankeny | State | Iowa |
| | | Country | USA |
| Citizenship | | | |
| Mailing Address 722 N.E. 10th Street | | | |
| Mailing Address | | | |
| City | Ankeny | State | Iowa |
| | | ZIP | 50021-4516 |
| | | Country | USA |

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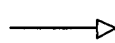
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| | | |
|--|------------------------|-----------------------|
| POWER OF ATTORNEY OR AUTHORIZATION OF AGENT | Application Number | |
| | Filing Date | |
| | First Named Inventor | THOMANN, KAREN S., et |
| | Group Art Unit | |
| | Examiner Name | |
| | Attorney Docket Number | P04514US0 |

I hereby appoint:

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as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

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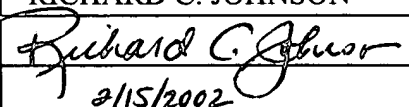
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|--|-------|-----|--|
| <input type="checkbox"/> Firm or Individual Name | | | |
| Address | | | |
| Address | | | |
| City | State | Zip | |
| Country | | | |
| Telephone | Fax | | |

I am the:

☒ Applicant/Inventor.

☐ Assignee of record of the entire interest. See 37 CFR 3.71.
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).

| SIGNATURE of Applicant or Assignee of Record | |
|--|---|
| Name | RICHARD C. JOHNSON |
| Signature |  |
| Date | 2/15/2002 |

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below*.

☒ *Total of 21 forms are submitted.

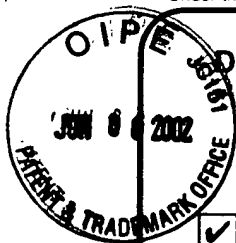
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| | | | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

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DECLARATION

ADDITIONAL INVENTOR(S)
Supplemental Sheet
Page 3 of 9

| | | | |
|--|------------|---|------|
| Name of Additional Joint Inventor, if any: | | <input type="checkbox"/> A petition has been filed for this unsigned inventor | |
| Given Name (first and middle [if any]) | | Family Name or Surname | |
| MARY J. | | CHIZEK | |
| Inventor's Signature | | Date | |
| Residence: City | Mason City | State | Iowa |
| Country | USA | Citizenship | |
| Mailing Address | | | |
| 1118 Crestmore Way | | | |
| Mailing Address | | | |
| City | Mason City | State | Iowa |
| ZIP | 50401 | Country | USA |
| Name of Additional Joint Inventor, if any: | | <input type="checkbox"/> A petition has been filed for this unsigned inventor | |
| Given Name (first and middle [if any]) | | Family Name or Surname | |
| SHERYL D. | | BENEDICT | |
| Inventor's Signature | | Date | |
| Residence: City | Truro | State | Iowa |
| Country | USA | Citizenship | |
| Mailing Address | | | |
| 1936 Shore Street | | | |
| Mailing Address | | | |
| City | Truro | State | Iowa |
| ZIP | 50257-7601 | Country | USA |
| Name of Additional Joint Inventor, if any: | | <input type="checkbox"/> A petition has been filed for this unsigned inventor | |
| Given Name (first and middle [if any]) | | Family Name or Surname | |
| RICHARD C. | | JOHNSON | |
| Inventor's Signature | | Date | |
| <i>Richard C. Johnson</i> | | 2/15/2002 | |
| Residence: City | Ankeny | State | Iowa |
| Country | USA | Citizenship | |
| Mailing Address | | | |
| 722 N.E. 10th Street | | | |
| Mailing Address | | | |
| City | Ankeny | State | Iowa |
| ZIP | 50021-4516 | Country | USA |

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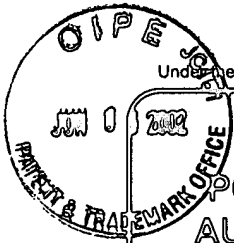
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| Group Art Unit | |
| Examiner Name | |
| Attorney Docket Number | P04514US0 |

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SIGNATURE of Applicant or Assignee of Record

| | |
|-----------|-----------------|
| Name | CARLA K. SEILER |
| Signature | |
| Date | 2/15/2002 |

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| | |
|-----------|---------------------------|
| Name | THOMAS R. HOUGHTON |
| Signature | <i>Thomas R. Houghton</i> |
| Date | 2/15/2002 |

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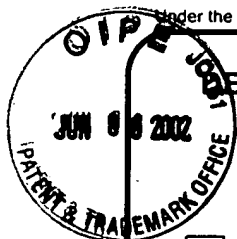
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| | | | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
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| Given Name (first and middle [if any]) | | Family Name or Surname | |
| CARLA K. | | SEILER | |
| Inventor's Signature <i>Carla K. Seiler</i> | | Date <i>2/15/2002</i> | |
| Residence: City | Madrid | State | Iowa |
| Country | USA | Citizenship | USA |
| Mailing Address 614 West 1st Street | | | |
| Mailing Address | | | |
| City | Madrid | State | Iowa |
| ZIP | 50156-1208 | Country | USA |
| Name of Additional Joint Inventor, if any: | | <input type="checkbox"/> A petition has been filed for this unsigned inventor | |
| Given Name (first and middle [if any]) | | Family Name or Surname | |
| PAUL N. | | DOUGLAS | |
| Inventor's Signature | | Date | |
| Residence: City | West Des Moines | State | Iowa |
| Country | USA | Citizenship | |
| Mailing Address 317 24th Street | | | |
| Mailing Address | | | |
| City | West Des Moines | State | Iowa |
| ZIP | 50265 | Country | USA |
| Name of Additional Joint Inventor, if any: | | <input type="checkbox"/> A petition has been filed for this unsigned inventor | |
| Given Name (first and middle [if any]) | | Family Name or Surname | |
| THOMAS R. | | HOUGHTON | |
| Inventor's Signature | | Date | |
| Residence: City | Des Moines | State | Iowa |
| Country | USA | Citizenship | |
| Mailing Address 1638 Northwest Drive | | | |
| Mailing Address | | | |
| City | Des Moines | State | Iowa |
| ZIP | 50310 | Country | USA |

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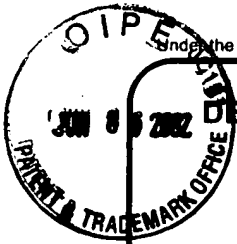
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**DECLARATION FOR UTILITY OR
DESIGN
PATENT APPLICATION
(37 CFR 1.63)**

☒ Declaration Submitted with Initial Filing **OR** ☐ Declaration Submitted after Initial Filing (surcharge (37 CFR 1.16 (e)) required)

| | |
|--------------------------|---------------------------|
| Attorney Docket Number | P04514US0 |
| First Named Inventor | THOMANN, KAREN S., et al. |
| COMPLETE IF KNOWN | |
| Application Number | / |
| Filing Date | |
| Art Unit | |
| Examiner Name | |

As the below named inventor, I hereby declare that:

My residence, mailing address, and citizenship are as stated below next to my name.

I believe I am the original and first inventor of the subject matter which is claimed and for which a patent is sought on the invention entitled:

AUTOMATED WORKFLOW MEANS AND METHOD FOR PENSION PRODUCTS

(Title of the Invention)

the specification of which

☒ is attached hereto

OR

☐ was filed on (MM/DD/YYYY) as United States Application Number or PCT International

Application Number and was amended on (MM/DD/YYYY) (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or (f), or 365(b) of any foreign application(s) for patent, inventor's or plant breeder's rights certificate(s), or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent, inventor's or plant breeder's rights certificate(s), or any PCT international application having a filing date before that of the application on which priority is claimed.

| Prior Foreign Application Number(s) | Country | Foreign Filing Date (MM/DD/YYYY) | Priority Not Claimed | Certified Copy Attached? | |
|-------------------------------------|---------|----------------------------------|--------------------------|--------------------------|--------------------------|
| | | | | YES | NO |
| | | | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | | | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | | | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | | | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

☐ Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto:

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DECLARATION

ADDITIONAL INVENTOR(S)
Supplemental Sheet
Page 5 of 9

| | | | |
|--|-----------------|---|------|
| Name of Additional Joint Inventor, if any: | | <input type="checkbox"/> A petition has been filed for this unsigned inventor | |
| Given Name (first and middle [if any]) | | Family Name or Surname | |
| CARLA K. | | SEILER | |
| Inventor's Signature | | Date | |
| Residence: City | Madrid | State | Iowa |
| Country | USA | Citizenship | |
| Mailing Address 614 West 1st Street | | | |
| Mailing Address | | | |
| City | Madrid | State | Iowa |
| ZIP | 50156-1208 | Country | USA |
| Name of Additional Joint Inventor, if any: | | <input type="checkbox"/> A petition has been filed for this unsigned inventor | |
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| Prior Foreign Application Number(s) | Country | Foreign Filing Date (MM/DD/YYYY) | Priority Not Claimed | Certified Copy Attached? | |
|-------------------------------------|---------|----------------------------------|--------------------------|--------------------------|--------------------------|
| | | | | YES | NO |
| | | | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
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| | |
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| DECLARATION | ADDITIONAL INVENTOR(S) Supplemental Sheet Page <u>5</u> of <u>9</u> |
|-------------|---|

| | | | |
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| Given Name (first and middle (if any)) | | Family Name or Surname | |
| THOMAS R. | | HOUGHTON | |
| Inventor's Signature <i>Thomas R. Houghton</i> | | Date 2/15/2002 | |
| Residence: City | Des Moines | State | Iowa |
| Country | USA | Citizenship USA | |
| Mailing Address 1638 Northwest Drive | | | |
| Mailing Address | | | |
| City | Des Moines | State | Iowa |
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